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NEH, 1991 Summer Seminars f...

National Endowment for the Humanities

Division of Fellowships and Seminars

Guidelines and Application Forms for DIRECTORS

Application Deadline: March 1, 1991
DEADLINE EXTENDED TO MARCH 15, 1991

1992 SUMMER SEMINARS FOR COLLEGE TEACHERS

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National Endowment for the Humanities
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OMB No. 3136-0093
Expires: 11/30/93

Please check the appropriate box:

☐ I expect to submit a proposal for a Summer Seminar for College Teachers for 1992. My tentative subject area is_____

☐ I do not expect to submit a proposal for 1992, but might very well be interested in offering a seminar in _____.

The 1992 proposal deadline is March 1, 1991.

Please Print:

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Department_____

University_____

City and State_____

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OMB No. 3136-0093
Expires: 11/30/93

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THE NATIONAL ENDOWMENT FOR THE HUMANITIES

The National Endowment for the Humanities is an independent grant-making agency established in 1965 to support research, education, and public projects in the humanities.

The Endowment supports work in the humanities through programs administered by five divisions—Education Programs, Fellowships and Seminars, Public Programs, Research Programs, and State Programs—and by two offices, the Office of Challenge Grants and the Office of Preservation.

THE HUMANITIES

In the act that established the National Endowment for the Humanities, the term *humanities* includes, but is not limited to, the study of the following disciplines: history; philosophy; languages; linguistics; literature; archaeology; jurisprudence; the history, theory, and criticism of the arts; ethics; comparative religion; and those aspects of the social sciences that employ historical or philosophical approaches.

Work in the creative or performing arts—such as writing of fiction or poetry, painting, sculpting, composing or performing music, acting, directing, and dance—is not eligible for support by the National Endowment for the Humanities. Persons interested in support in these areas should call or write the National Endowment for the Arts. Critical, historical, and theoretical studies of the arts, however, are eligible for support from the National Endowment for the Humanities.

Applicants undertaking studies in the social and natural sciences that are historical or philosophical in approach, or that attempt to cast light on questions of interpretation or criticism traditionally in the humanities, are eligible.

SUMMER SEMINARS FOR COLLEGE TEACHERS

Description of the Program

Summer Seminars for College Teachers are offered for college teachers and independent scholars who want to revitalize their understanding of significant ideas and texts in the humanities. The seminars provide teachers and scholars with opportunities to enrich their knowledge of the subjects they teach and study by working with distinguished scholars, by studying with other teachers and scholars, and by undertaking individual projects (for example, intensive reading, scholarly research, or writing) of their own choosing. Seminars offered in the program are held at institutions, such as universities, colleges, museums, or libraries, with resources suitable for advanced work. The seminars deal with significant works and subject matter of central concern to the humanities.

The Endowment will offer seminars in many of the disciplines of the humanities during the summer of 1992, the twentieth year of the summer seminar program. Over the years the program has offered seminars on a wide variety of topics, although in any given year the excellence of the proposed seminars rather than topic distribution is the primary consideration in selection. Seminars are characterized by the scholarly and teaching quality of their directors, the breadth and appeal of the seminar topics to teachers of undergraduate students and to interpreters of the humanities to the general public, the significance of the topics to the humanities, and the potential for engendering collegiality and promoting intellectual stimulation for participants. Study at special collections can be particularly fruitful for participants, and the Endowment encourages applications to hold seminars at appropriate museums and libraries as well as at colleges and universities.

Proposing a Seminar

Director: The Endowment encourages proposals to direct Summer Seminars for College Teachers from professors who are recognized scholars in their fields. Seminar directors should possess an interest and ability in undergraduate teaching. Their work should be pertinent to the interests of teachers or scholars who present the humanities to undergraduates or to the general public.

Because of the short duration and small size of the seminars, it is preferable for a seminar to have a single director. The close working association between the director and the participants is a vital feature of NEH seminars. In special cases where the topic is such that joint directors can provide greater opportunities for the seminar participants than can a single director, the Endowment may fund a jointly directed seminar. In such cases, both directors must be committed to participation throughout the entire seminar. Directors may invite a few guest speakers during the course of the seminar but should not share the work of the seminar with a large number of

visitors or associates. Proposals for seminars requiring joint directors or several visiting speakers should explain how such arrangements will benefit the participants while not impairing the collegial nature of the seminars. **Please note that only very limited support is provided in the budget for visiting speakers.**

The direction of a summer seminar requires full-time attention, and directors are expected neither to engage in any other major activity during the summer nor to be absent from the seminar location during the period of the seminar. Any other arrangement must be approved by the Endowment.

Prospective directors in the Summer Seminars for College Teachers Program may not apply concurrently to the NEH Summer Seminars for School Teachers Program.

Topic: Seminars may be designed according to the directors' own expertise and interests, and applicants have wide latitude in fashioning their seminar proposals. The topics should be broad enough to accommodate a wide range of interests and should be central to the major ideas, texts, and approaches of the humanities; they should address significant questions and pursue ideas beyond narrowly focused disciplinary concerns. Seminar discussion may also include considerations pertinent to teaching and presenting the ideas, texts, and approaches relevant to the topic. The Endowment especially encourages seminars on foreign languages and cultures.

The program invites proposals designed to address the professional and scholarly needs of two-year college teachers. All seminars are open to all eligible applicants, but different emphases may well be appropriate in seminars designed in light of the kinds of teaching and scholarship typically undertaken in two-year colleges. Such seminar topics might focus on subjects or materials widely taught in two-year colleges, or they might be designed to encourage participants to deepen their understanding of one or more humanities disciplines. Seminars may place emphasis on shared reading, writing, and discussion instead of original research intended for publications. The shorter four- or five-week seminar length (discussed under "Organization" below) might fit well with two-year college teaching schedules.

Those applicants who wish their proposals considered as especially appropriate for two-year college teachers should describe how the proposed seminar takes these needs into account; they should not, however, restrict the seminar to two-year college participants. Prospective directors are urged to consult with program staff in preparing a proposal with a two-year college focus.

NOTE: If a proposed project relates to American Indians, Aleuts, Eskimos, or native Hawaiian people and artifacts, an applicant should obtain from the Endowment a copy of its Code of Ethics concerning native Americans. The code establishes certain standards of conduct in research, publication, and public programs involving native American people.

Organization: As the collegial atmosphere of NEH seminars is crucial to their purpose and success, seminars should be especially designed for experienced college teachers and professional scholars and should not duplicate courses normally given by graduate departments. Although it is important that the topics and readings of the seminars be clearly organized, the seminars should not be structured like lecture courses or graduate seminars. Rather, they should facilitate the development of a collegial atmosphere in which directors and participants discuss the issues and concepts relevant to the seminar topic. During the course of the seminar, participants are encouraged to engage in individual writing projects; however, seminar directors **should not require** a lengthy paper or a publishable article, although such an essay might be part of an individual project undertaken by a participant.

Normally scholars apply to the Endowment to direct eight-week, seven-week, or six-week seminars. Prospective directors should organize their reading lists and syllabi to reflect the appropriate time period, recognizing that participants will want to pursue their own scholarly research in addition to the common reading list.

A shorter, four- or five-week length may be appropriate for some topics, and scholars may so apply. Such seminars, however, should not merely be compressed versions of the usual six- to eight-week seminars but rather should reflect substantive differences in topic and approach warranting the shorter tenure.

Site: Directors may conduct seminars at institutions other than those at which they are employed; applicants should explain why the objectives of these

seminars can be more readily accomplished at institutions such as universities, libraries, or museums with collections or special resources suitable for advanced study and research and for the topic of the seminar.

The Endowment does support a limited number of seminars abroad; these are especially encouraged for teachers of foreign languages and cultures. A prospective director considering an overseas seminar should consult with program staff before submitting a formal proposal.

Selection Criteria

Applications to direct Summer Seminars for College Teachers will be evaluated according to the following criteria and guidelines:

1. the prospective director's quality as a scholar, teacher, and interpreter of the humanities;

2. the significance of the proposed topic to the humanities and to undergraduate teaching;

3. the conception, definition, and organization of the proposed seminar and its appropriateness to the purposes of this program; and

4. the suitability of the host institution for advanced study and research in the field of the seminar, including library collections and other research and scholarly resources, housing availability, and other institutional support important to a collegial setting.

Each year the Endowment funds seminars proposed by new directors and by returning directors. Proposals to repeat seminars are evaluated in the same way as new proposals except that former directors' prior seminar records are made available to review panels. **If other considerations are equal, preference is given to applicants new to the program.**

Directors proposing to repeat a seminar should submit a **full** revised proposal taking into consideration the experience gained from directing the earlier seminar and including a current résumé and a full updated syllabus and bibliography. Former directors should especially take note of the reports provided by their participants; copies of these reports are available from NEH staff. Directors may apply to conduct seminars in consecutive summers, except that first-time directors may not conduct a seminar in the summer immediately following their initial offering. To ensure a variety in the slate of seminars, the Endowment will take into account the frequency with which a seminar has been offered.

Application Review Process

The Summer Seminars for College Teachers program has one review cycle a year. The process begins with the March deadline and lasts six months.

Proposals to direct summer seminars are carefully evaluated by review panels. The applications are grouped by discipline or clusters of related disciplines for panel review. Each panel usually has five members who are scholars and teachers in the discipline or disciplines of the applications assigned to the panel. Panels in this program include former seminar directors and participants. The recommendations of the disciplinary panels are reviewed in turn by the National Council on the Humanities. The National Council is composed of twenty-six members appointed by the President of the United States. The Chairman of the Endowment, after considering the recommendations made in the course of the review, makes the final decisions on the applications.

Reapplication is always possible, and failure to gain support in one year does not prejudice an applicant's chances for reconsideration in future competitions.

Although NEH staff advice is not a part of the formal review process, **prospective directors are strongly encouraged to discuss their proposed seminars with the program staff well before the application deadline** in order to obtain preliminary information about the special requirements of the program; the appropriateness of the proposed topic; and any issues related to the organization, requirements, and location of the seminar. The telephone number is 202/786-0463. The staff will be happy to advise applicants in planning their proposals and invites prospective directors to submit preliminary drafts before the application deadline for comment.

Grant Award

Funds will be officially awarded to the institution sponsoring the seminar (in most instances the institution with which the seminar director is affiliated). The grant will include stipends for the seminar participants, salary for the seminar director, administrative support, and direct and indirect costs to the host institution.

Preparation for the Seminar

Applicants selected to direct a summer seminar will be notified of the Endowment's decision by September, 1991. Later in the fall, the Endowment will conduct a one-day orientation meeting for directors in Washington, D.C. Each director will compose a "Dear Colleague" letter, to be sent to prospective applicants to the seminars, that describes the topic, organization, and requirements of the seminar as well as the facilities available for participants at the seminar location.

During the application period preceding the seminars (December through March), directors should be readily available to answer questions from prospective participants. Should a sustained absence from their home institution be anticipated, prospective directors must consult NEH staff before submitting a formal proposal.

Selection of Summer Seminar Participants

After the decisions have been made about the seminars to be offered in 1992, the complete list of seminars will be widely publicized by the Endowment. Persons wishing to participate in a seminar will apply directly to the seminar director. An individual may apply to no more than two seminars in any one year. Participation in each seminar is limited to twelve teachers and scholars, each of whom will receive a stipend of $3,750 for an eight-week seminar, $3,350 for a seven-week seminar, $2,950 for a six-week seminar, $2,575 for a five-week seminar, or $2,200 for a four-week seminar. A committee made up of the seminar director and two other scholars of the director's choosing evaluates all applications to the seminar and selects the participants. Endowment guidelines require that participants be selected on the basis of the applicants' quality and commitment as teachers, scholars, and interpreters of the humanities; their qualifications to do the work of the seminar and make a contribution to it; and the conception, definition, and organization of the applicants' proposed programs of personal study and the potential value of these programs to other members of the seminar.

The program serves those whose primary duties lie in undergraduate teaching, but other persons, such as independent scholars and scholars employed by museums, libraries, historical societies and like organizations, qualified to do the work of the seminar and make a contribution to it, are also eligible and encouraged to apply. Preference is given to those who have not recently had access to the resources of a major library or other research facility or who have not had significant released time for independent study and professional development. The Endowment particularly encourages humanities faculty at two-year colleges and at historically black colleges and universities to apply to the program. Participants in seminars held in 1990 or 1991 are not eligible to attend seminars in 1992, but participants who attended seminars in 1989 or earlier are eligible in 1992.

Applicants must have completed their professional training by March 1, 1992. Although an applicant need not have an advanced degree in order to qualify, **neither candidates for degrees nor persons seeking support for work leading toward a degree are eligible.** Directors should not select applicants

—who are their former students,
—whose dissertations they advised,
—who are colleagues at the directors' institutions, or
—who participated in the directors' previous NEH Summer Seminars.

By accepting the stipends, participants in the seminars acknowledge their intent to participate fully in the seminar and to complete all seminar assignments. Beyond their work for the seminar, they also agree to devote full time to personal study during the seminar period. In the application to attend a seminar, applicants will be asked to indicate the nature of the work they intend to pursue independently. This component of the seminar may take the form of a research project or a program of intensive reading of special interest to the participant. The project may grow directly out of the seminar topic, or it may merely fall within the broad purview of the seminar's subject area.

After the end of the seminar, seminar participants will be expected to submit directly to the National Endowment for the Humanities a report in which they assess the contributions of the seminar to their personal and professional enrichment. These reports will be made available to the seminar director.

APPLICATION AND AWARD SCHEDULE

Application Deadline	**March 1, 1991 (postmark date) Deadline Extended to March 15, 1991**
Award Notification	**September 1991**
Seminar Dates	**Four- to Eight- week period between June 9 and August 15, 1992**

OTHER PROGRAMS OF THE DIVISION OF FELLOWSHIPS AND SEMINARS

NEH fellowship programs provide opportunities for individuals to pursue independent study and research that will enhance their capacities as teachers, scholars, or interpreters of the humanities and that will enable them to make significant contributions to thought and knowledge in the humanities. Fellowships enable people to devote extended periods of uninterrupted time to investigation, reflection, and writing. The programs are intended for a range of people, from those who have made significant contributions to the humanities to those who stand at the beginning of their careers. Projects may address broad topics or consist of study and research in a single field. **Fellowships for University Teachers** are for faculty members of departments and programs in universities that grant the Ph.D. and faculty members of postgraduate professional schools. **Fellowships for College Teachers and Independent Scholars** are for faculty members of two-year, four-year, and five-year colleges, faculty members of departments and programs in universities that do not grant the Ph.D., individuals affiliated with institutions other than colleges and universities, and scholars and writers working independently. Most projects requiring collaboration should be submitted to the Division of Research Programs and most projects undertaken by an individual scholar should be submitted to the Division of Fellowships and Seminars, but there are some exceptions. Potential applicants should obtain detailed information about the appropriate programs from the staff or application guidelines of the two divisions. The application deadline for fellowships is June 1.

Summer Stipends provide support for faculty members in universities and two-year and four-year colleges, and for other persons working in the humanities to enable them to devote two consecutive months of full-time study and research to their projects. An applicant's project may be one that can be completed during the stipend period, or it may be part of a long-range endeavor. The application deadline for awards is October 1.

Summer Seminars for School Teachers provide opportunities for teachers and other school personnel of grades kindergarten through twelve to work in their areas of interest with master teachers and active scholars, studying seminal works in the humanities systematically and thoroughly. The seminars last for four, five, or six weeks, depending on the individual seminar, and are held at institutions broadly distributed throughout the country. The application deadline for seminar participants is March 1; the deadline for directors of seminars for the following year is April 1.

The **Faculty Graduate Study Program for Historically Black Colleges and Universities** is offered by the Endowment in response to the President's initiative (Executive Order 12677) regarding historically black colleges and universities. These fellowships are intended to strengthen the teaching of the humanities at these colleges and universities by providing one year of support for teachers to work toward the completion of a doctoral degree in one of the humanities disciplines. The application deadline for awards is March 15.

The **Travel to Collections Program** provides grants of $750 to individual scholars so that they can use the research collections of libraries, archives, museums, or other repositories. Awards are made to help defray transportation costs, subsistence and lodging, reproduction and photoduplication costs, and associated research expenses. Semiannual application deadlines are July 15 and January 15.

The **Younger Scholars Program** provides support for secondary school and undergraduate students to carry out projects of research and writing in the humanities during the summer. Recipients work under the close supervision of a humanities scholar. No academic credit may be taken for this work. The application deadline for 1992 awards is November 1, 1991; the deadline for 1993 awards is November 1, 1992.

Further information on these programs is available from:

Division of Fellowships and Seminars, Room 316
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

Telephones: 202/786-0466 (Fellowships, HBCU Faculty Graduate Study, and Stipends); 202/786-0463 (Seminars, Travel to Collections, and Younger Scholars)

ENDOWMENT INITIATIVE

A special initiative is an undertaking by the Endowment to encourage proposals in all grant-making categories for projects relating to a specific subject or event. Proposals are currently solicited for the following initiative:

The Columbian Quincentenary

As part of the international observance of the 500th anniversary of Christopher Columbus's voyage of discovery to the New World, NEH invites proposals for original scholarship on related topics and for the dissemination of both new and existing scholarship. Topics may include the expansion of European civilization through the efforts of the Spanish and Portuguese crowns and the establishment of new societies and new forms of cultural expression through encounters among native American, European, and African peoples. Proposals may also explore the ideas—political, religious, philosophical, scientific, technological, and aesthetic—that shaped the processes of exploration, settlement, and cultural conflict and transformation set into motion by Columbus's momentous voyage.

PROPOSAL INSTRUCTIONS

Introduction

The complete application should consist of the following documents:

1) the original proposal, which includes
   a) an original signed application cover sheet,
   b) the seminar description, and
   c) the director's résumé;

2) **eight** collated photocopies of the complet application: the cover sheet, seminar description, and résumé (making a total of nine copies with the original);

3) the budget page, with two photocopies (making a total of three copies);

4) three letters of recommendation, to be submitted separately on reference letter forms (codirectors may submit three letters apiece); and

5) two 5" x 8" index cards.

The application cover sheet, the budget page, the reference letter forms, and the set of 5" x 8" cards are located in the back of this booklet.

An additional copy of all these materials should be retained for the applicant's own files.

Please complete and return immediately the interest postcard, found in the front of the booklet.

Application Cover Sheet

Instructions for completing the application cover sheet are on pages 14.

Budget Instructions

The budget form is on page 19.

Duration of Seminar:

Indicate the actual dates of the seminar. Because of college schedules, the seminar period should begin no earlier than June 8 and end no later than August 14; other proposed dates should be discussed with program staff. Ensure that dormitory or other housing space is available during the period chosen.

A. Participant Support:

Under this heading, funds for the support of twelve participants should be requested.

Stipend: Each of the twelve participants in a seminar will receive a stipend, as follows: $3,750 for eight weeks; $3,350 for seven weeks; $2,950 for six weeks; $2,575 for five weeks; and $2,200 for four weeks. The stipend is intended to help cover travel expenses to and from the seminar location, books and other research expenses, and living expenses for the tenure of the seminar.

B. Operating Costs:

Item 1: The seminar director is expected to request compensation for the time required to conduct the seminar during the summer and for the time involved to select participants (December through March). The maximum amounts allowable are the following percentages of the 1991-1992 annual academic salary: 27.78 percent for an eight-week seminar, 25 percent for a seven-week seminar, 22.2 percent for a six-week seminar, 19.4 percent for a five-week seminar, and 16.6 percent for a four-week seminar. Two codirectors would each receive 60 percent of these amounts.

Item 2: The seminar director will need secretarial help during the application period (December through March) for publicizing the seminars and processing applications. An administrative assistant (perhaps a graduate student) will be necessary both before and during the seminar to help with on- and off-campus housing, bibliographic materials, library searches, and other assistance for the director and the participants. The maximums allotted to cover both positions are $2,500 for an eight-week seminar, $2,250 for a seven-week seminar, $2,000 for a six-, five-, or four-week seminar.

Item 3: The subtotal of items 1 and 2.

Item 4: An institution is allowed to claim fringe benefits on salary and wages according to its current negotiated rates.

Item 5: A request may be included to cover reasonable project charges for office supplies, duplication costs, telephone usage, postage, informational materials, etc. Please note that these costs should be included only if they are not part of the indirect cost pool. Any request that is in excess of a total of $950 for these items should be explained in full detail. (Directors and their host institutions should prepare and distribute to appropriate audiences information about the seminars. The Endowment will print and nationally distribute posters and brochures advertising the slate of seminars, and it will prepare and supply directors with application materials.)

Item 6: In the fall of 1991, there will be a one-day orientation meeting for seminar directors at the Endowment's offices in Washington, D.C. A request should be made for this travel expense (including *per diem* if necessary).

Item 7: A total of $300 ($150 for each) has been allowed for honoraria to those colleagues who will assist the director in selecting participants.

Item 8: Include here requests for visiting lecturers' fees, film rentals, etc., if applicable. This item should be explained in detail, and normally should not exceed $800.

Item 9: The subtotal of items 4 through 8.

Item 10: The total of items 3 and 9.

C. Indirect Costs:

An institution is eligible to claim indirect costs for this program if it has established a current indirect cost (IDC) rate with an agency of the U.S. government. In most cases, indirect costs may **not** be claimed on the amount of participants' support (section A of the budget). Applicants should check the terms of the negotiated IDC rate with their institution's grants office. At the time a grant award is issued, the Endowment will use the institution's IDC rate applicable for the period of the award to determine project costs. Once an award is issued, however, it is not the Endowment's policy to increase the award to cover additional costs resulting from the negotiation of a different IDC rate. If the institution does not have a current IDC rate, contact the Endowment's Office of the Inspector General at 202/786-0350.

D. Total Project Costs:

The Endowment will review the total budget and will, in the official award letter, provide instructions regarding reporting requirements and payment requests.

Tuition and other fees for the participants are normally inappropriate, and the Endowment expects that they will be waived. If, for legal or other reasons, tuition and fees must be charged to the seminar participants, please explain the circumstances in the proposal. This exception may require special treatment in the budget.

Seminar Description

In an appended statement prospective directors should submit supporting information about their proposed seminars and their qualifications to direct seminars. This statement will consist of a detailed description of the seminar, covering the points specified below, and a résumé.

Prospective directors are strongly encouraged to discuss their proposed seminars with NEH staff

well before the application deadline, in order to obtain preliminary advice about the purpose, priorities, and special requirements of the program. The program staff will supply sample copies of successful proposals and invites prospective directors to submit preliminary drafts for comment ahead of the deadline. The telephone number is 202/786-0463.

A former director proposing to apply again to the program should obtain from Endowment staff the evaluations submitted by previous participants in order to take any suggested changes into consideration in revising the proposal.

The proposed seminar should be described in sufficient detail to make an adequate evaluation possible. Prospective directors should bear in mind that this description is the most important information the reviewers will have about the substance and design of the seminar and the contribution it can make to teachers' and scholars' understanding of the humanities.

Although no particular form is prescribed, the description of the seminar should cover the following points:

1. Scope, emphasis, and methodological approach of the seminar, including the significance to the humanities of the works and subject matter. In describing the subject of the seminar, it is useful to reviewers if the applicant provides an illustrative example of the planned approach or of the way in which a text or body of material will be analyzed.

2. The relationship of the seminar topic to the prospective director's own interests as a scholar.

3. The pertinence of the topic to the work of teachers of undergraduates and to other scholars who interpret the humanities for nonspecialized audiences.

4. Seminar structure, procedures, and requirements. These should include a tentative week-by-week outline suggesting the topics, issues, and readings to be discussed by seminar participants. Applicants proposing four- or five-week seminars should describe how and why the topic warrants treatment in the shorter format. Applicants should also indicate the number of formal seminar meetings planned (generally two or three meetings for an average of six or seven hours a week is recommended) and explain how they will conduct a typical meeting. Proposals should also include an abbreviated list of readings and a one- to two-page bibliography of other works relevant to the seminar. Applicants should indicate any other formal activities—such as writing, oral reports, leading discussion—they will expect of participants in the seminar. Prospective directors may encourage participants to undertake writing projects related to the seminar, but they should not require participants to write a lengthy seminar paper or a publishable article (although such an essay might be part of their individual projects). In organizing the seminar, prospective directors should keep in mind the differences between NEH seminars and graduate courses, especially the program's emphasis upon the collegial exchange of viewpoints.

5. The audience for whom the seminar is intended. Seminars should have bearing on the work of a large number of scholars and teachers of undergraduates either within a single discipline or across disciplines. Although seminars should not require highly specialized training on the part of participants, it is reasonable to require some background in the area of the seminar and, where appropriate, knowledge of foreign languages. Prospective directors should explain in their proposals any such special requirements.

6. The suitability and availability of facilities for seminar participants. The description should make clear how the library collections or other scholarly resources at the host institution or at nearby institutions are suitable not only for the seminar topic but also for advanced work that the participants may undertake beyond their work for the seminar. Directors proposing to make use of the research facilities of neighboring institutions should confirm such arrangements with the institutions involved to ensure their availability. Directors should also determine that university sponsored and private housing will be available (and at what approximate cost) for seminar participants and their families. It is helpful if most participants can be lodged in one location.

7. The types of extracurricular activities of interest to seminar participants available on campus during the period of the seminar.

8. The names and addresses of the referees.

Personal Information

The prospective director should provide a summary résumé. This should include (1) a record of his or her education, (2) a list of academic honors or awards received, (3) professional experience, and (4) a list of **relevant** publications. The résumé should be no longer than four pages.

Reference Letters

The application should include three letters of reference (except in the case of applications for codirected seminars, which may contain six letters of recommendation). Reference letters should be from persons familiar with the prospective director's capabilities and accomplishments relevant to the subject of the seminar and, if possible, with the Summer Seminars for College Teachers Program. **At least one of the three referees should be someone who has worked closely with the prospective director and who can testify to his or her abilities as a teacher.** The other referees should evaluate the prospective director's scholarship. The Endowment may also seek additional recommendations from consultants of its own choosing.

The prospective director should complete the top part of each of the four reference letter forms on pages 25-32 and send them, together with a copy of the full seminar description, to the referees. The referees should send their letters directly to the Endowment, addressed to the Division of Fellowships and Seminars. Referees should be advised that supporting letters are due at the Endowment by the March 1 application deadline.

A director proposing to repeat a seminar or applicants resubmitting previously unfunded proposals may request that Endowment staff use reference letters already on file, as long as these letters are recent (written for the 1988 competition or later). Such letters, and the application years under which they were submitted, **must** be designated on the two index cards located at the back of this application booklet. Former directors are strongly encouraged to solicit at least two new letters to replace letters already on file, including, if possible, a letter from a former participant. A former director proposing a new topic should obtain new reference letters.

Index Cards

The prospective director should complete all information requested on the index cards located inside the back cover of this booklet. The address of the director should be an institutional address at which Endowment staff can most conveniently reach the director during the application process. The mailing address for applicants should be an institutional address at which applicants may reach the director for information and applications for the seminar. Secretarial assistance should be available at this address.

Submission of Applications

The proposal deadline is March 1, 1991 (postmark date). The deadline has been extended to March 15, 1991. The complete proposal, including forms, cards, appended statement, budget page, and required number of copies, should be sent to

Summer Seminars for College Teachers
Division of Fellowships and Seminars, Room 316
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

National Endowment for the Humanities

Washington, D.C.

The following pages include:

—Instructions for Completing the Application Cover Sheet
—The Application Cover Sheet
—Field of Project Categories and Codes

Please read the instructions before completing applicable questions. Please print or type.

Purpose: The National Endowment for the Humanities uses a single cover sheet for all of its programs. This cover sheet gathers information that is necessary in one of two ways:

(1) The information is necessary for efficient consideration of the application during the review process and in the administration of the grant if an award is made.

(2) The information is *required of the Endowment* in various reports to Congress, other federal agencies, and the public. The Endowment must provide reports that involve statistical information or descriptions that can be obtained quickly from the cover sheet. Information is recorded in a computer, which stores the data for subsequent compilation and reporting.

Please read the instructions for each question carefully. Answer each question by typing or printing your reply. Please verify your answers to be certain that they are correct and complete.

You will find it helpful to complete the cover sheet last, after all other parts of the application have been prepared.

Privacy Act: The following notice is furnished in compliance with the Privacy Act of 1974:

The information is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. This information is needed to process the grant application and for statistical research and analysis of trends. The routine uses which may be made of this information are: general administration of the grant review process; review and discussion by peer review advisory panels and, in some programs, evaluation by specialist reviewers, Endowment staff, and members of the National Council on the Humanities; statistical summaries; congressional oversight; and analysis of trends. Failure to provide any of the requested information will result in the delay or rejection of the application.

APPLICATION COVER SHEET INSTRUCTIONS

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates the average time to complete this application is sixteen hours per response. This estimate includes the time for reviewing instructions; researching, gathering, and maintaining the information needed, and completing and reviewing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the time to complete, to the Assistant Chairman for Operations, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0093), Washington, D.C. 20503.

Block 1. Individual Applicant or Project Director:

Item 1a: Enter your name and mailing address.

Item 1b: Indicate the number corresponding to your preferred form of address:

1- Mr.	4- Ms.
2- Mrs.	5- Professor
3- Miss	6- Dr.

Item 1c: Enter your social security number and date of birth.

Item 1d: Enter your full telephone number with area code and, if applicable, extension. Whenever possible, one of the telephone numbers listed should be a number at which a message can be left.

Item 1e: If possible, please indicate the code for the appropriate field from the "Field of Project" list found on the reverse side of the Application Cover Sheet.

Item 1f: Project directors should be U.S. citizens, native residents of U.S. territorial possessions, or foreign nationals who have been residing in the United States or its territories for at least three years immediately preceding the application deadline. Check the block appropriate for your situation. If you are a foreign national, use the space provided to specify the month and year in which you came most recently to reside in the United States.

Block 2. Type of Applicant: Applicants to this program are institutions.

Items 2c and 2d: Identify the *type* of institutions, for example, university, research library, etc. Identify *status* as private nonprofit or unit of state or local government.

Block 3. Prechecked.

Block 4. If application is being made under the Endowment's Columbian Quincentenary initiative described on page 10 of the guidelines, please place the number "03M" in the space provided after "Endowment Initiatives."

Block 5. Preprinted.

Block 6. Project Funding: Enter here the appropriate figures from the Project Budget that is part of your application.

Block 7. Field of Project: Indicate the category and code from the listing on the reverse side of the cover sheet to indicate the specific humanities field that best describes the content of the project.

Block 8. Descriptive Title of Project: Enter a brief title that clearly identifies the project and its humanities content. This title should be informative to a nonspecialist. The NEH is obliged to be as clear as possible to the public about awards that it makes. The "descriptive title" will be used for this purpose whenever possible, but the Endowment staff may assign a different working title to the project.

Block 9. Description of Project: This brief paragraph describing the seminar should not be longer than 150 words. It should emphasize the topics to be covered, the general approach to be followed, and a few of the major sources or authors to be included in the common reading list. The last sentence should indicate the audience for whom the seminar is intended. Particular care should be taken with the accuracy of this brief description, because, if the award is made, it will be the basis for the announcement of the seminar in the brochure sent to potential seminar participants. Please do not continue the description on a second page.

Block 10. Prechecked.

Block 11. Institutional Data:

Item 11a: Indicate the name of the institution and the city and state of its official mailing address.

Item 11b: Enter the institution's employer identification number.

Item 11c: Indicate the name and title of the person who is authorized to submit the application on behalf of the institution or organization and to provide the certifications required in Block 12. That person must sign and date the application.

Item 11d: Indicate here the name, mailing address, form of address (see instructions for Block 1, item 1b), and the telephone number of the person who will be responsible for the financial administration of the grant if the award is made. For example, at many universities the provost, vice president, president, or chancellor is the person "authorized" to submit an application (see item 11c), but the actual administration of the project—such as, negotiating the project budget, ensuring compliance with the terms and conditions of the award—is the responsibility of a grants or research officer. It is the latter person who should be listed here.

Block 12. Certification: The Endowment is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Applicants requesting more than $100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Institutional applicants are required to certify that they will comply with the nondiscrimination statutes. Because most of these certifications impose new responsibilities on successful applicants, the certifications and accompanying instructions that are found in the appendix of this brochure should be read before the application cover sheet is signed.

Block 13. Seminar Length: Indicate the length of your proposed seminar.

OMB No. 3136-0093
Expires: 11/30/93

NEH APPLICATION COVER SHEET

1. Individual applicant or project director

a. Name and mailing address

Name _____
(last) (first) (initial)

Address _____

_____
(city) (state) (zip code)

b. Form of address ☐

c. Social Security # _____ Date of birth _____ (mo. day yr.)

d. Telephone number
Office ( ) _____ Home ( ) _____
(area code) (area code)

e. Major field of applicant or project director _____ ☐ (code)

f. Citizenship ☐ U.S.
☐ Other _____ (specify)

2. Type of applicant

a. ☐ by an individual b. ☒ through an org. / institution
If a, indicate an institutional affiliation, if applicable, on line 11a
If b, complete block 11 below and indicate here
c. Type
d. Status

3. Type of application

a. ☒ new c. ☐ renewal
b. ☐ revision and resubmission d. ☐ supplement
If either **c** or **d**, indicate previous grant number

_____

4. Program to which application is being made

Summer Seminars for College Teachers 6311

Endowment Initiatives _____ (code)

5. Requested grant period

From October 1991 (month, year) To September 1992 (month, year)

6. Project funding

a. Outright funds $ _____
b. Federal match $ _____
c. Total from NEH $ _____
d. Cost sharing $ _____
e. Total project costs $ _____

7. Field of project ☐

8. Descriptive title of project

9. Description of project (do not exceed space provided)

10. Will this proposal be submitted to another government agency or private entity for funding?
(if yes, indicate where and when)

11. Institutional data

a. Institution or organization:

_____
(name)

_____
(city) (state)

b. Employer identification number _____

c. Name of authorizing official:

_____
(last) (first) (initial)

_____
(title)

d. Name and mailing address of institutional grant administrator:

_____
(last) (first) (initial)

_____

_____
(city) (state) (zip code)

Telephone ( ) _____ Form of address ☐
(area code)

12. Certification

By signing and submitting this application, the individual applicant or the authorizing official of the applicant institution (block 11c) is providing the applicable certifications regarding the nondiscrimination statutes, federal debt status, debarment and suspension, a drug-free workplace, and lobbying activities, as set forth in the appendix to these application guidelines.

_____ _____
(signature) (date)

Note: Federal law provides criminal penalties of up to $10,000 or imprisonment of up to five years, or both, for knowingly providing false information to an agency of the U.S. government. 18 U.S.C. Section 1001

13. Seminar Length

☐ 4-week seminar ☐ 6-week seminar ☐ 8-week seminar
☐ 5-week seminar ☐ 7-week seminar

For NEH use only
Date received
Application #
Initials

Field of Project Categories and Codes

The following categories and codes should be used to complete blocks 1e and 7 of the NEH Applications Cover Sheet. If no exactly appropriate category is provided, please select the larger category that would include the more precise one. (This listing is strictly for use by the NEH staff to help retrieve information about applications and grants by subject matter field. The listing is not comprehensive and is not meant to define the disciplines of the humanities. For that definition and advice about eligibility for Endowment awards, please consult elsewhere in these application materials. The hierarchical arrangement is for convenience.

Anthropology L1

Archaeology U6

Archival Management/Conservation I1

Arts, History and Criticism MA

Architecture: History & Criticism U3
Art: History and Criticism M1
Dance: History & Criticism M3
Film: History & Criticism M4
Music: History & Criticism M5
Theater: History & Criticism M2

Communications P2

Composition & Rhetoric P1
Journalism P4
Media P3

Education H1

Ethnic Studies K1

Asian American K5
Black/Afro-American K4
Hispanic American K3
Jewish K6
Native American K2

History A1

African A2
American A3
Ancient AC
British A4
Classical A5
European A6
Far Eastern A7
Latin American A8
Near Eastern A9
Russian AA
South Asian AB

Humanities U8

Interdisciplinary U1

African Studies G1
American Studies G3
Area Studies GH
Asian Studies G5
Classics G7
Folklore/Folklife R1
History/Philosophy of Science, Technology or Medicine GA
International Studies GG
Labor Studies G4
Latin American Studies GJ
Medieval Studies G8
Regional Studies GF
Renaissance Studies G9
Rural Studies GC
Urban Studies G2
Western Civilization GB
Women's Studies G1

Languages C1

Ancient CC
Asian CA
Classical C2
Comparative C9
English CE
French C3
German C4
Italian C5
Latin American C6
Near Eastern CB
Slavic C7
Spanish C8

Law/Jurisprudence Q1

Library Science H3

Linguistics J1

Literature D1

African DK
American DE
Ancient DC
Asian DA
British DD
Classical D2
Comparative D9
French D3
German D4
Latin American D6
Literary Criticism DI
Near Eastern DB
Slavic D7
Spanish D8

Museum Studies/Historic Preservation I2

Philosophy B1

Aesthetics B2
Epistemology B3
Ethics B4
History of Philosophy B5
Logic B6
Metaphysics B7
Non-Western Philosophy B8

Religion E1

Comparative Religion E5
History of Religion E2
Non-Western Religion E4
Philosophy of Religion E3

Social Science U2

American Government F2
Economics N1
Geography U7
International Relations F3
Political Science F1
Psychology U5
Public Administration F4
Sociology S1

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Expires 11/30/93

National Endowment for the Humanities | Division of Fellowships and Seminars

BUDGET PAGE

_____ (Proposed Grantee Institution)

_____ (Seminar Director)

_____ (Seminar Title)

_____ (Seminar Period) (Beginning Date) (Ending Date)

A. PARTICIPANT SUPPORT

1. Stipends.....$_____

(12 x $3,750 for an eight-week seminar)
(12 x $3,350 for a seven-week seminar)
(12 x $2,950 for a six-week seminar)
(12 x $2,575 for a five-week seminar)
(12 x $2,200 for a four-week seminar)

B. OPERATING COSTS

1. Seminar Director.....
(_____% or _____Months @ _____per academic year)

2. Administrative, Secretarial, and Clerical (unless part of Indirect Cost Pool).....

3. Subtotal, Items 1 & 2.....

4. Fringe Benefits.....
(@_____% of $_____ for seminar director)
(@_____% of $_____ for other staff, if applicable)

5. Duplication and office costs (unless part of Indirect Cost Pool).....

6. Director's travel to orientation meeting.....

7. Selection Committee fees.....

8. Other (specify).....

9. Subtotal, Items 4 through 8.....

10. TOTAL, Items 3 & 9.....

C. INDIRECT COSTS.....
(_____% of_____)

D. TOTAL PROJECT COSTS (A, B, & C).....

OMB No. 3136-0093
Expires 11/30/93

NEH

National Endowment for the Humanities

Summer Seminars for College Teachers

TO BE COMPLETED BY THE PROPOSER:

Name of Proposer:
Institution:
City and State:
Field:

FOR USE OF RESPONDENT: (Please see back of this page for guidelines.)

Signature of Respondent _____ Date _____

Name and Title _____

Department (or Position) _____

Institution (or Employer) _____

The Summer Seminars for College Teachers program provides teachers and scholars with opportunities to participate in seminars directed by distinguished scholars in the humanities at institutions with libraries or archives suitable for advanced study. The program is intended primarily for individuals who teach undergraduate courses, full- or part-time, at two-, four-, or five-year colleges or universities. Other persons, such as independent scholars and scholars employed by museums, libraries, historical societies and other organizations, who are qualified to do the work of the seminar and make a contribution to it, are also eligible and encouraged to apply. The seminars offered in this program deal with significant works and subject matter of central concern in the humanities. Participants undertake both the common work of the seminar and programs of study and research of their own design. Through research, reflection, and discussion with the seminar director and their colleagues in a seminar atmosphere, the participants deepen their understanding of the humanities and improve their ability to convey their understanding to others.

The National Endowment for the Humanities is considering the proposal of the person named on the front of this page for a grant to conduct the seminar described in the attached proposal. The Endowment would appreciate having your opinion of the proposer's competence as a scholar and teacher and as a director of such a seminar, and of the contribution the proposed seminar would make to understanding the humanities. We would also appreciate having any other comments you consider pertinent.

Subject to applicable laws, your letter will be held in confidence.

Please send this form before March 1, 1991, directly to

Summer Seminars for College Teachers
Division of Fellowships and Seminars, Room 316
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

OMB No. 3136-0093
Expires 11/30/93

NEH

National Endowment for the Humanities

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Summer Seminars for College Teachers
Division of Fellowships and Seminars, Room 316
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

Appendix

Instructions for the Certifications

General Requirements

The Endowment is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Applicants requesting more than $100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Institutional applicants are required to certify that they will comply with the nondiscrimination statutes.

By signing and submitting a proposal the individual applicant or the authorizing official of the applicant institution provides the applicable certifications. When a prospective applicant is unable to certify regarding the nondiscrimination statutes, a drug-free workplace, or lobbying, that person is not eligible to apply for funding from the Endowment. When an applicant is unable to certify regarding federal debt status or debarment and suspension, an explanation must be attached to the proposal. The explanation of why the certification cannot be submitted will be considered in connection with the Endowment's funding determination. Failure to furnish a certification or an explanation shall disqualify the applicant from receiving an award from the Endowment.

The certifications are material representations of fact upon which reliance will be placed when the Endowment determines to fund the application. If it is later determined that the applicant knowingly provided an erroneous certification or did not comply with the requirements, in addition to other remedies available to the federal government, the Endowment may seek judicial enforcement of the certification (nondiscrimination statutes); may terminate the award for cause or default (federal debt status and debarment and suspension); and may suspend payment, suspend or terminate the grant, or suspend or debar the grantee (drug-free workplace). Any person who fails to file a required certification regarding lobbying or submits an erroneous certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

The applicant shall provide immediate written notice to the director of the NEH Grants Office if at any time the applicant learns that its certifications were erroneous when submitted or have become erroneous by reason of changed circumstances.

Nondiscrimination Statutes

The certification regarding the nondiscrimination statutes shall obligate the applicant for the period during which the federal financial assistance is extended. There are two exceptions. If any personal property is acquired with Endowment assistance, this certification shall obligate the applicant for the period during which it retains ownership or possession of that property. If any real property or structure is improved with Endowment support, this certification shall obligate the applicant or any transferee for as long as the property or structure is used for the grant or similar purposes. This certification is binding on the applicant, its successors, transferees, and assignees, and on the authorizing official whose signature appears on the application cover sheet for this proposal.

Grantees are also required to evaluate their policies and practices toward the handicapped and grantee organizations that employ fifteen or more persons must keep on file a list of the interested persons that were consulted and a description of the areas that were examined, the problems that were identified, and any modifications or remedial steps that were undertaken.

Federal Debt Status

If an applicant is unable to certify regarding federal debt status, an explanation must be submitted with the proposal.

Definitions of terms used in the federal debt status certification:

Delinquent: Represents the failure to pay an obligation or debt by the date specified in the agency's initial written notification or applicable contractual agreement, unless other satisfactory payment arrangements have been made by that date, or if at any time thereafter, the debtor fails to satisfy the obligation under a payment agreement with the agency.

Federal Debt: The amount of money or property that has been determined by an appropriate agency official to be owed to the United States by any person, organization, or entity. Examples of debts include delinquent taxes, audit disallowances, guaranteed and direct student loans, housing loans, farm loans, business loans, Department of Education institutional loans, benefit overpayments, and other miscellaneous administrative debts.

Debarment and Suspension

The applicant agrees by submitting this proposal that should the proposal be funded by the Endowment, it shall not knowingly enter into any project-related transactions (as defined under "lower tier covered transactions") with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Endowment.

The applicant further agrees by submitting this proposal to include without modification the following clause in all lower tier covered transactions and in all solicitations for lower tier covered transactions:

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

A grantee may rely on the certification of a prospective subrecipient that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A grantee may decide the method and frequency by which it determines the eligibility of its "principals."

Except when specifically authorized by the Endowment, if a grantee knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to the remedies available to the federal government, the Endowment may terminate this transaction for cause or default.

Definitions of terms used in the debarment and suspension certification:

Covered Transaction: A covered transaction is either a primary covered transaction or a lower tier covered transaction.

Debarment: An action taken by a debarring official in accordance with 45 CFR Part 1169 to exclude a person from participating in covered transactions. A person so excluded is "debarred."

Ineligible: Excluded from participation in federal nonprocurement programs pursuant to a determination of ineligibility under statutory, executive order, or regulatory authority, other than Executive Order 12549.

Lower Tier Covered Transaction: (a) Any transaction between a participant and a person other than a procurement contract for goods or services, regardless of type, under a primary covered transaction. (b) Any procurement contract for goods or services between a participant and a person, regardless of type, expected to equal or exceed the federal procurement small purchase threshold fixed at 10 U.S.C. 2304(g) and 41 U.S.C. 253(g) [currently $25,000] under a primary covered transaction. (c) Any procurement contract for goods or services between a participant and a person under a covered transaction, regardless of amount, under which that person will have a critical influence on or substantive control over that covered transaction. Such persons are project directors, principal investigators, and providers of federally-required audit services.

Participant: Any person who submits a proposal for, enters into, or reasonably may be expected to enter into a covered transaction. This term also includes any person who acts on behalf of or is authorized to commit a participant in a covered transaction as an agent or representative of another participant.

Person: Any individual, corporation, partnership, association, unit of government or legal entity, however organized, except foreign governments or foreign governmental entities, public international organizations, foreign government owned or controlled entities.

Primary Covered Transaction: This is normally any nonprocurement transaction between an agency and a person, regardless of type, including grants, cooperative agreements, scholarships, fellowships, contracts of assistance, loans, loan guarantees, subsidies, insurance, payments for specified use, donation agreements, and any other nonprocurement transactions between a federal agency and a person.

Principal: Officer, director, owner, partner, key employee, or other person within a participant with primary management or supervisory responsibilities; or a person who has critical influence on or substantive control over a covered transaction, whether or not employed by the participant.

Suspension: An action taken by a suspending official in accordance with these regulations that immediately excludes a person from participating in covered transactions for a temporary period, pending completion of an investigation and such legal, debarment, or Program Fraud Civil Remedies Act proceedings as may ensue.

Voluntarily Excluded: The status of nonparticipation or limited participation in covered transactions assumed by a person pursuant to the terms of a settlement.

Drug-Free Workplace

By signing and submitting the application, the institutional applicant agrees, among other things, to establish an on-going drug-free awareness program; to publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace; and to give this statement to each employee to be engaged in the performance of the grant. For grants that have a performance period in excess of 30 days, the program and policy statement must be in place within thirty days of the date the award is issued.

A grantee will be considered in violation of the drug-free workplace requirements if the grantee falsely certifies, fails to carry out the requirements of the certification, or fails to make a good faith effort to maintain a drug-free workplace.

The applicant must either identify in the application proposal the place(s) where the grant activities will be carried out or must keep this information on file in its office so that it is available for federal inspection. Workplace identification shall include the actual address of buildings (or parts of buildings) or other sites where work under the grant will take place. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

Definitions of terms used in the drug-free workplace certification:

Controlled Substance: A controlled substance in schedules I through V of the Controlled Substance Act (21 U.S.C. 812), and as further defined by regulation at 21 CFR 1308.11 - 1308.15.

Drug-free Workplace: A site for the performance of work done in connection with a specific grant at which employees of the grantee are prohibited from engaging in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance.

Employee: The employee of a grantee directly engaged in the performance of work under the grant, including all "direct charge" employees; all "indirect charge" employees, unless their impact or involvement is insignificant to the performance of the grant; and all temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll.

Grantee: A person who applies for or receives a grant directly from a federal agency.

Lobbying Activities

An applicant who requests grant funds in excess of $100,000 is required to certify and, under certain circumstances, file a disclosure statement on lobbying activities. The "Certification Regarding Lobbying Activities" applies only to the individual application for which Endowment funding is being sought. If nonfederal funds were used or will be used to support lobbying activities for this application by persons other than regularly employed officers or employees of the applicant institution, the OMB "Disclosure of Lobbying Activities" (Standard Form LLL) shall be completed and returned to the NEH Grants Office. This form will also be filed at the end of each calendar quarter in which there occurs any event that requires disclosure or that materially affects the accuracy of the information previously filed.

Those who received a subgrant, contract, or subcontract exceeding $100,000 at any tier under an Endowment grant are required to file a certification and, when necessary, a disclosure form to the next tier above. All disclosure forms shall be forwarded to the NEH Grants Office by the grantee.

For the purpose of this certification a "regularly employed officer or employee of the applicant" is one who is employed by the applicant for at least 130 working days within one year immediately preceding the date of the submission that initiates Endowment consideration of the applicant for receipt of a grant or cooperative agreement.

Certifications

1. Certification Regarding the Nondiscrimination Statutes (Applies to Recipients Other than Individuals)

The applicant certifies that it will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d *et seq.*) which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance; (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 *et seq.*) which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 *et seq.*) which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

2. Certification Regarding Federal Debt Status (OMB Circular A-129)

The applicant certifies to the best of its knowledge and belief, that it is not delinquent in the repayment of any federal debt.

3. Certification Regarding Debarment and Suspension (45 CFR 1169)

The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

4. Certification Regarding Drug-FreeWorkplace Requirements (Drug-Free Workplace Act of 1988)

Alternate I. (Applies to Grantees Other Than Individuals)

(A) The grantee certifies that it will or will continue to provide a drug-free workplace by

(a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibitions;

(b) establishing an ongoing drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace; (2) the grantee's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;

(c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant the employee will (1) abide by the terms of the statement; and (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;

(e) notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers

of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

(f) taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;

(g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

Alternate II. (Applies to Grantees Who Are Individuals)

(A) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.

(B) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

5. Certification Regarding Lobbying Activities (45 CFR 1168) (Applies to Applicants Requesting Federal Funds in Excess of $100,000)

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Note: If a proposed project relates to American Indians, Aleuts, Eskimo, or native Hawaiian people and artifacts, an applicant should obtain from the Endowment a copy of its Code of Ethics concerning native Americans. The code establishes certain standards of conduct in research, publication, and public programs involving native American peoples.

DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB
0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

1. **Type of Federal Action:**	2. **Status of Federal Action:**	3. **Report Type:**
☐ a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	☐ a. bid/offer/application b. initial award c. post-award	☐ a. initial filing b. material change **For Material Change Only:** year _____ quarter _____ date of last report _____

4. **Name and Address of Reporting Entity:**	5. **If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:**
☐ Prime ☐ Subawardee Tier _____, *if known*: **Congressional District,** *if known*:	 **Congressional District,** *if known*:
6. **Federal Department/Agency:**	7. **Federal Program Name/Description:** CFDA Number, *if applicable*: _____
8. **Federal Action Number,** *if known*:	9. **Award Amount,** *if known*: $
10. a. **Name and Address of Lobbying Entity** *(if individual, last name, first name, MI)*:	b. **Individuals Performing Services** *(including address if different from No. 10a)* *(last name, first name, MI)*:

(attach Continuation Sheet(s) SF-LLL-A, if necessary)

11. **Amount of Payment** *(check all that apply)*:	13. **Type of Payment** *(check all that apply)*:
$ _____ ☐ actual ☐ planned	☐ a. retainer ☐ b. one-time fee ☐ c. commission ☐ d. contingent fee ☐ e. deferred ☐ f. other; specify: _____
12. **Form of Payment** *(check all that apply)*: ☐ a. cash ☐ b. in-kind; specify: nature _____ value _____	

14. **Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:**

(attach Continuation Sheet(s) SF-LLL-A, if necessary)

15. **Continuation Sheet(s) SF-LLL-A attached:** ☐ Yes ☐ No

16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.	**Signature:** _____ **Print Name:** _____ **Title:** _____ **Telephone No.:** _____ **Date:** _____

Federal Use Only:	Authorized for Local Reproduction Standard Form - LLL

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).

11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.

12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.

13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.

14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.

15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.

16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 mintues per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET

Approved by OMB
0348-0046

Reporting Entity: _____ Page _____ of _____

1992 Summer Seminars for College Teachers

OMB No. 3136-0093
Expires 11/30/93

NAME OF DIRECTOR

(last) (first) (initial)

DATES OF SEMINAR

LOCATION OF SEMINAR

ADDRESS OF DIRECTOR

(Department)

(Institution)

(City) (State) (Zip Code)

MAILING ADDRESS FOR APPLICANTS

(Department)

(Institution)

(City) (State) (Zip Code)

TELEPHONE (include Area Code)

Office

Department

Home

REFERENCES (Include names and addresses and identify letters already on file at NEH.)

Forms sent to:

	on file year
1.	
2.	
3.	

TITLE OF PROPOSED SEMINAR

If you have directed a summer seminar in the past, please give year(s):

1992 Summer Seminars for College Teachers

OMB No. 3136-0093
Expires 11/30/93

NAME OF DIRECTOR

(last) (first) (initial)

DATES OF SEMINAR

LOCATION OF SEMINAR

ADDRESS OF DIRECTOR

(Department)

(Institution)

(City) (State) (Zip Code)

MAILING ADDRESS FOR APPLICANTS

(Department)

(Institution)

(City) (State) (Zip Code)

TELEPHONE (include Area Code)

Office

Department

Home

REFERENCES (Include names and addresses and identify letters already on file at NEH.)

Forms sent to:

	on file year
1.	
2.	
3.	

TITLE OF PROPOSED SEMINAR

If you have directed a summer seminar in the past, please give year(s):

National Endowment for the Humanities
Division of Fellowships and Seminars
Room 316
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

OFFICIAL BUSINESS
Penalty for Private Use, $300